

Rodney G. Flott

Arrest

Date: April 9, 2004

Respondent: Rodney G. Flott

Read allegations in the [Press Release issued April 9, 2004](#)

Diversion Agreement

Date: July 1, 2004

Respondents: Rodney G. Flott

Allegations: Defendant was charged with nine counts of securities fraud in the offer or sale of fraudulent capital notes or investment contracts. Victim losses exceeded \$25,000. Defendant is also charged with one count of passing a worthless check in an amount over \$500.

Defendant entered into a one year Diversion Agreement with the Shawnee County District Court. Conditions for diversion included entering into a Consent Order which bars Defendant from associating with an investment adviser or broker-dealer registered in the State of Kansas. The Consent Order was executed by the Commissioner on October 12, 2004.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.